



Performance Pay Program

User Guide

for State Classified Employees & Supervisors



April, 2002

COLORADO STATE UNIVERSITY

PERFORMANCE PAY PROGRAM USER GUIDE

TABLE OF CONTENTS

I. Overview	
Introduction	1
History and Legal Requirements	2
Colorado State University Performance P. Pay Program	2
Timelines and Reporting Requirements	2
Core Competencies	4
II. Forms	7
Planning Confirmation and Overall Performance Evaluation Form	8
Planning and Evaluation Form	9
Dispute Resolution Form	14
III. Planning Process	
Review the Position Description Questionnaire (PDQ)	15
Link to the University, Department and Work Unit Mission	15
Planning Process	16
Writing Standards/Goals/Objectives	17
Performance Plannings steps	18
IV. Coaching, Feedback and Progress Review	
Coaching and Feedback Tips	19
Mid-Year Progress Review Meeting	20
V. Evaluation Process	21
Purpose of the Evaluation Process	21
Evaluation Preparation	21
Form Completion	21
Performance Evaluation steps	22
Evaluation Pitfalls to Avoid	23
Rating Levels	23
Role of the Reviewer	23
Evaluation Session	24
VI. Awards	
Awards--Types and Eligibility	26
Award Setting	26
Transition of Current Employees	27
New Employees	27
Job Changes	25
Announcement and Distribution of Awards	28
VII. Dispute Resolution Process	
Initial Review	29
Final Review	29
External Stage	30
External dispute form	31
IX. Resources	35
X. Glossary	36

I. OVERVIEW

Introduction

Performance Pay Program (PPP) is a state-mandated program, and as a state institution Colorado State University is required to implement this program for its state-classified employees.

The Colorado State University Performance Pay Program (CSU/PPP) User Guide, web site (<http://www.colostate.edu/Depts/HRS/cpp/index.html>), and forms were created in accordance with State of Colorado statutes, Performance Pay Program guidelines, and Rules and Procedures of the State Personnel Program. They were developed with input from Colorado State University employees and members of the PPP Advisory Committee, approved by the administration of Colorado State University, and are intended to be dynamic and flexible to meet the diverse work settings of the University.

Performance management refers to the whole process of bringing out the best efforts of people and directing those efforts toward meeting the goals of the University and respective units/departments. It is much more than completing a performance review twice a year. It includes a short term and long term focus. It incorporates the concepts of coaching, supporting, and developing. It is a partnership between a supervisor and an employee.

A good performance management Program:

- Drives the organizational culture and strategy by linking employee objectives and behaviors to the organization's strategic focus (vision, strategies, critical success factors and values).
- Includes both the process (the how's) and the outcomes (the what's).
- Inspires employee commitment through participation.
- Includes training in performance management for every employee.
- Includes self-evaluation by employees who have an understanding of their place in the organization and their contribution to its success through active participation in the Planning process.
- Involves continuous monitoring, coaching and feedback.

Benefits to Colorado State University:

- Committed workforce
- Trained workforce
- Increased retention
- Focus on the organizational mission
- Team/Department participation

Benefits to Employee

- Clarity in job roles and responsibilities
- Ongoing feedback
- Recognition of good performance
- Opportunity for professional growth
- Encourages communication with supervisors

History and Legal Requirements

Since 1945, state classified employees with the State of Colorado have been paid under a grade and step Program. Under that program, salaries were adjusted based on prevailing wages as determined by a salary survey, and merit increases based on longevity and satisfactory job performance. On September 1, 2000, the State Department of Personnel released the Performance Pay Program as mandated by SB211, which repealed an earlier version of a Performance Pay Program known as Colorado Peak Performance. The state's Performance Pay Program is available in its entirety on the web at:

http://www.state.co.us/gov_dir/gss/hr/perfmgmt/finalProgram.pdf:

The Performance Pay Program mandates:

- Development of a performance management Program that permits performance-based pay increases for employees.
- Implementation of performance-based pay by July 1, 2002 for all state classified employees, including state classified hourly employees.

The Performance Pay Program does not affect annual salary survey adjustments.

Pay-for-performance is not new for some Colorado State University employees. It has been the practice for faculty and administrative-professional staff for many years; it is, however, new for classified employees to the degree embodied within PPP.

Colorado State University Performance Pay Program

Two factors are critical throughout the performance management process: *communication* between supervisor and employee, and *documentation* of planning, reviewing, and evaluating. Either employee or supervisor can initiate communication. An employee needs to know about job performance expectations and the supervisor needs to know about problems and new situations. Both employee and supervisor should document events that affect the performance plan, evaluation, and what is being evaluated. The forms developed for CSU Performance Pay Program have narrative sections for this purpose.

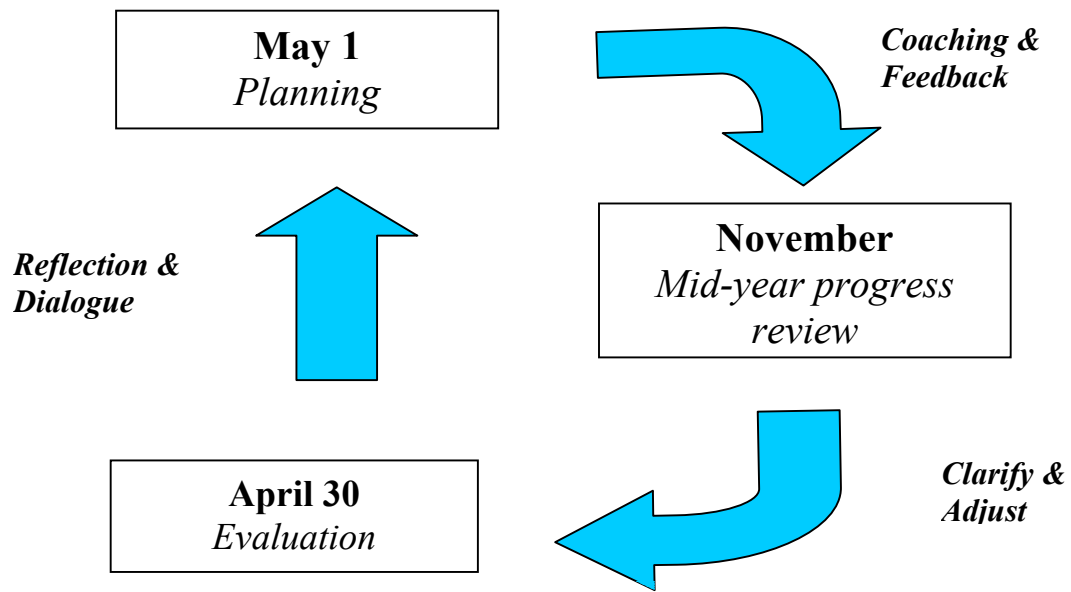
CSU Performance Pay Program was designed to be collaborative; that is, employee and supervisor work together on developing the performance Program. Here are some alternatives:

- A group of employees who have essentially the same duties could meet together to develop the performance standards/goals/objectives for their job, and then work with their supervisor to refine them;
- The supervisor of such employees could develop the standards/goals/objectives and then meet with the group of employees. However, the supervisor must have individual meetings with each employee, and all employees need to understand the terms of the plan and how they will be evaluated.

Timelines and Reporting Requirements

All state employees are now under the same Planning and evaluation timeline. The Performance Pay Planning and Evaluation Cycle is from May 1st to April 30th of each year. Departments may set their own Planning and evaluation cycles as long as the processes occur no later than May, November and April deadlines.

Performance Pay Program Cycle



- Performance awards are finalized and processed into the payroll Program for July 1 implementation. Base-building awards begin July. Non-base building awards are paid in one lump sum in July.

Core Competencies:

The State Personnel Director has defined the following uniform, statewide core competencies: communication, interpersonal skills, customer service, and accountability and job knowledge. These core competencies must be included into every employee performance plan and considered during every employee evaluation beginning July 2001.

A competency is a measurable pattern of skills, knowledges, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully.

Job Knowledge/Potential – Possesses knowledge of established policies and procedures. Possesses sufficient skills and knowledge to perform all parts of the job effectively and efficiently. Provides technical assistance to others and is consulted by others on technical matters. Pursues professional development. Displays innovation.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> • Fails to apply job related knowledge and practices • Fails to attend training about job related developments • Needs oversight or constant coaching in performance of job 	<ul style="list-style-type: none"> • Meets expectations of current job knowledge and practices • Attends training as assigned or directed • Possesses sufficient skills to perform job effectively and efficiently 	<ul style="list-style-type: none"> • Seeks new job related knowledge and practices • Seeks out new training and learning opportunities • Demonstrates growth in job performance by expanding job knowledge and skills 	<ul style="list-style-type: none"> • Consistently seeks new job-related knowledge and practices, and finds ways to apply them • Seeks, learns, and applies new knowledge and disseminates to co-workers • Highly knowledgeable and skilled; consulted by others, effectively coaches co-workers

Communication/Verbal and Written – Uses appropriate language and terminology. Communicates in a manner that is understood, courteous and effective. Demonstrates effective listening skills. Seeks and considers ideas from others on issues. Keeps supervisor, co-workers and internal units informed. Is considerate of the communication styles of others. Prepares written communications/documents that are complete, clear and understandable.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> • Fails to communicate • Fails to share job-related information • Disregards job-related communication, information • Is unreliable in responding to written/verbal communications 	<ul style="list-style-type: none"> • Communicates based upon fact • Shares job-related information • Understands job-related communication, information • Responds to job-related written/verbal communications 	<ul style="list-style-type: none"> • Encourages communication • Consistently effective and appropriate in sharing job-related information • Verifies and corrects misinformation in job-related communication, information • Responds to job-related written/verbal communication effectively and in a timely manner 	<ul style="list-style-type: none"> • Consistently promotes and encourages communication • Anticipates, seeks and provides job-related information • Interprets, disseminates, archives, contributes to further communication • Consistently and pro-actively responds to written/verbal communications in an effective and timely manner

Interpersonal Relations – Maintains smooth working relations, support and respect for others.

Demonstrates tact and diplomacy in negotiations or confrontations with others. Contributes to employee morale and motivation. Is accessible to others and responsive to their questions, needs and concerns.

Supports and appreciates the diversity of co-workers, students, customers and visitors. Shares information, credit and opportunities. Displays an appropriate balance between personal effort, team effort and ability to establish rapport with internal and external clients.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> Discourages a positive work environment Is disrespectful and/or displays unprofessional behavior Undermines team building effort Disregards the importance of rapport 	<ul style="list-style-type: none"> Cooperates towards a positive work environment Respectful and professional behavior Cooperates in team building effort Establishes rapport 	<ul style="list-style-type: none"> Consistently contributes towards a positive work environment Consistently demonstrates respect and professionalism Understands value of the team and contributes to team building effort Understands and implements good rapport building 	<ul style="list-style-type: none"> Fosters, promotes, initiates a positive work environment Promotes respect and professionalism in self and others Consistently models strong team building behaviors Promotes and models good rapport-building behaviors and seeks opportunities

Customer Service – Provides prompt and friendly service to internal and external customer. Helps identify customer needs through courteous questioning and a sincere desire to be helpful. Follows up with customers, as appropriate, to ensure satisfaction. Considers and recommends alternatives to customers when needed

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> Disregards customer needs Deals with customers inappropriately Fails to provide customer follow-up Reacts to conflict inappropriately 	<ul style="list-style-type: none"> Ascertains and accommodates customer needs Deals with customers appropriately Provides customer follow-up Deals with conflict appropriately 	<ul style="list-style-type: none"> Explores best way to accommodate customer needs Promotes strong and positive customer relations Consistent and timely with customer follow-up Effective in managing conflict 	<ul style="list-style-type: none"> Consistently works with customers to ensure high level of customer satisfaction Successfully works with all customers Provides consistent customer follow-up, seeks or disseminates additional information Consistently manages conflict skillfully

Accountability – Meets changing conditions and situations in work responsibilities. Accepts constructive criticism and suggestions and makes appropriate changes. Handles conflict in a constructive manner. Seeks solutions acceptable to all. Is willing to accept supervision. Can consistently be relied on to perform in a professional manner. Represents department and the University in an exemplary fashion. Is fully ready to work at the beginning of work schedule and continues until workday is done. Does not abuse leave practices. Does not abuse department, University of State of Colorado policies and practices.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> Abuses annual/sick leave policies Unwilling to accept constructive criticism from others – defensive Displays poor professional image Misuses University resources Disregards department, University and State of Colorado policies and practices 	<ul style="list-style-type: none"> Adheres to annual/sick leave policies Willing to accept constructive criticism Displays professional image Uses University resources appropriately Adheres to department, University, and State of Colorado policies and practices 	<ul style="list-style-type: none"> Considers work commitments when requesting leave Applies constructive criticism to future interactions/situations Consistently displays professional image Looks for efficient use of University resources Makes others aware of department, University and State of Colorado policies and practices 	<ul style="list-style-type: none"> During absence ensures that all aspects of the job are covered Alters conduct and procedures based on constructive criticism Represents department and the University in a highly professional manner at all times Considers and applies best practices in using University resources, encourages others as well Encourages others to abide by department, University and State of Colorado policies and practices

All supervisors must have the following core competency in their performance plans that measure and evaluates the effectiveness of their supervision and performance management of their employees..

Supervision / Performance Management– Employees supervised demonstrate productivity, competence and high morale. Provides supervision, feedback and training for employees. Utilizes employee’s skills and abilities. Conducts performance planning and evaluations in a timely manner. Develops performance standards, goals, objectives and deadlines and communicates them to employees. Resolves routine personnel issues or problems

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> Has an inefficient/unproductive work unit Provides minimal information to employees about issues and expectations Fails to provide productive coaching and feedback to employees Conflicts go unresolved Makes assignments without regard to employee’s abilities 	<ul style="list-style-type: none"> Has a productive work unit Provides employees with necessary information regarding issues and expectations Provides coaching and feedback to employees Recognizes conflicts and deals with them on a timely basis Utilizes employee’s skills, strengths and abilities 	<ul style="list-style-type: none"> Has an efficient and highly productive work unit Provides consistent and timely briefings to employees on issues and expectations Acknowledges and addresses behavior(s) immediately Is knowledgeable about conflict resolution resources and keeps manager informed of the workplace issues in the work unit. Trusted as fair by employees Recognizes and encourages employee’s skills, strengths and abilities 	<ul style="list-style-type: none"> Has a consistently high performance work unit which supports the mission of the organization Assures that appropriate action is taken with disseminated information Applies knowledge and experience to new situation Takes steps to prevent conflicts from occurring Encourages and provides growth opportunities for employees

II. FORMS

There are three separate forms to be used in Performance Management.

- Page 1: Planning Confirmation and Overall Evaluation Form
This form shows the overall process and includes spaces for appropriate signatures at the time the Program is established and at the time the mid-year progress review takes place. **The Overall Evaluation Rating section must be completed and forwarded to Human Resources by May 30th of each year.** This is the only form required by HRS. Departments retain all other planning and evaluation documents. The overall evaluation rating section must have the signatures of the employee, the supervisor, and the reviewer.
- Page 2 – 4: Planning and Evaluation Form
Two sample forms are included and may be used in recording planning and evaluation activities. Departments/units may use either or both of these forms or may modify them to meet department needs. The key is to follow the outline in Section III (Planning Process) in the User Guide. Departments/units are encouraged to include their Mission on the planning form to underscore the link between the employee's plan and the Mission.
- Page 5: Dispute Resolution Form
This form is to be used by an employee

Colorado State University
Performance Pay Program
Planning Confirmation and Overall Evaluation Form
General Information

Planning Period: From _____ To _____

Employee _____

Social Security Number _____

Job Title _____

Position Number _____

Department & 4-digit mail code _____

Supervisor _____

Performance Planning Management

The PDQ for this position was reviewed and is current and accurate. Supervisor Initials: _____ Date: _____

This Program has been reviewed and understood.

Supervisor Signature _____ Date: _____

Employee Signature _____ Date: _____

Mid-Year Progress Review Meeting

At least one coaching, or progress review, meeting is required for each evaluation period; more are recommended. Indicate the date the meeting was held and the issues that were discussed.

Issues Discussed:

Supervisor Signature _____ Date: _____

Employee Signature _____ Date: _____

Overall Evaluation Rating

The overall rating for the Evaluation period:

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

Supervisor Signature _____ Date: _____

Reviewer Signature _____ Date: _____

Employee Signature _____ Date: _____

I agree with this evaluation: _____ I disagree with this evaluation: _____

Please make department/employee copies and then forward the original copy to Human Resource Services no later than May 30th. Overall Evaluation Rating section .MUST have signature of employee, supervisor and reviewer to be accepted

Planning and Evaluation Form

Standards/Goals/Objectives Associated with Success in This Position

“Standards/Goals/Objectives” are specific statements or requirements and agreed upon by the supervisor and the employee. “Measurement Method” reflects the evaluation basis for the expected results. “Results achieved” are the accomplishments of the employee during the evaluation period.

	Standard/Goal/Objective:	Results Achieved:	
		___	Level 4
1			
	Measurement Method:	___	Level 3
		___	Level 2
			Level 1

	Standard/Goal/Objective:	Results Achieved:	
		___	Level 4
2			
	Measurement Method:	___	Level 3
		___	Level 2
			Level 1

	Standard/Goal/Objective:	Results Achieved:	
		___	Level 4
3			
	Measurement Method:	___	Level 3
		___	Level 2
			Level 1

	Standard/Goal/Objective:	Results Achieved:	
		___	Level 4
4	Measurement Method:	___	Level 3
		___	Level 2
			Level 1

	Standard/Goal/Objective:	Results Achieved:	
		___	Level 4
5	Measurement Method:	___	Level 3
		___	Level 2
			Level 1

S.M.A.R.T. GOALS

Specific – they precisely define the work involved

Measurable – quantitative, qualitative, and timely

Agreed – both supervisor and employee are committed

Realistic – an acceptable but stretching challenge

Timed – specify completion and review dates

There are five types of standards/goals/objectives:

- To achieve routine work assignments
- To resolve identified problems
- To support innovation
- For professional development
- To support institutional or departmental goals

Behaviors Associated with Success in This Position

Check behaviors that will be evaluated. As with standards/goals/objectives, careful discussion of expectations should occur. Use the blank spaces to weigh job specific behavior:

E= Essential

I=Important

N=Not Applicable

Then, Please rate according to the following levels for performance:

____ **Job Knowledge/Potential:** Possesses knowledge of established policies and procedures. Possesses sufficient skills and knowledge to perform all parts of the job effectively and efficiently. Provides technical assistance to others and is consulted by others on technical matters. Pursues professional development. Displays innovation.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

____ **Accountability:** Meets changing conditions and situations in work responsibilities. Accepts constructive criticism and suggestions and makes appropriate changes. Handles conflict in a constructive manner. Seeks solutions acceptable to all. Willingness to accept supervision. Can consistently be relied on to perform job. Seldom needs to be reminded. Is fully ready to work at beginning of work schedule and continues until workday is done. Does not abuse leave practices.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

____ **Interpersonal Relations:** Maintains smooth working relations, support and respect of others. Demonstrates tact and diplomacy in negotiations or confrontations with others. Contributes to employee morale and motivation. Is accessible to others and responsive to their questions, needs and concerns. Supports and appreciates the diversity of co-workers, students, customers, and visitors. Shares information, credit and opportunities. Displays an appropriate balance between personal effort and team effort.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

____ **Communications:** Demonstrates effective listening skills. Uses appropriate language and terminology. Speaks in a manner that is understood, courteous and effective. Seeks and considers ideas from others on issues that affect them. Keeps supervisor and co-workers informed. Prepares written documents that are complete, clear and understandable. Is considerate of the communication skills of others.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

____ **Customer Service:** Provides prompt and friendly service to internal and external customers. Helps identify customer needs through courteous questioning and a sincere desire to be helpful. Follows up with customers, as appropriate, to insure satisfaction. Considers and recommends alternatives to customers when needed.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

____ **Competence/Responsibility:** Maintains quality/quantity standards. Accepts responsibility for all areas of job. Uses time effectively with minimal errors. Completes work thoroughly in a reasonable amount of time. Meets or surpasses established goals. Works accurately, neatly, and attends to detail.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

____ **Motivation/Commitment:** Displays drive and energy in accomplishing tasks. Handles several responsibilities concurrently. Conveys positive and professional image of work unit to others. Puts forth-extra effort when needed. Agrees to modify schedule or adapt Programs when necessary. Self-starter. Displays positive attitude in work assignments and interactions with others.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

_____ Problem Solving/Reasoning: Recognizes and analyzes work related problems. Uses available resources to evaluate and recommend potential solutions. Ability to use good judgment to arrive at sound conclusions. Ability to take timely action.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

_____ Safety: Aware of job safety procedures. Keeps abreast of changes in safety procedures. Practices safety work habits. Reports possible safety hazards to supervisor. Attends safety-training programs, as appropriate.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

_____ Supervision/ Performance Management: Employees supervised demonstrate productivity, competence and high morale. Provides supervision, feedback and training for employees. Utilizes employee's skills and abilities. Conducts performance Planning and evaluations for employees in a timely manner. Develops goals, objectives and deadlines and communicates them to employees. Resolves routine personnel issues or problems.

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

Additional benchmarked behaviors/competencies available on the web at:

<http://www.colostate.edu/Depts/HRS/cpp/index.html>

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

Level 1 _____ Level 2 _____ Level 3 _____ Level 4 _____

Training and Development Programs

Narrative Section

(For use by Supervisor to amplify the evaluation or Employee to explain disagreement with the evaluation; attach additional sheets if necessary).

Performance Pay Dispute Resolution Form

Date _____

Employee's Name _____

Job Title _____

Department & 4-digit mail code _____

Supervisor _____

I wish to have the following reviewed:

_____ 1. My performance plan or lack of a plan. The error or problem is:

_____ 2. My performance rating. The error or problem is:

_____ 3. The application of the CSU Performance Pay Program, process, or policies to my plan or evaluation. The error or problem is:

_____ 4. Full payment of my award. The error or problem is:

To resolve this issue, I have taken the following actions:

RESOLUTION BEING REQUESTED: _____

Employee's Signature: _____ **Date:** _____

For additional information on the dispute resolution process including the form to use in proceeding to the external process consult the User Guide, Section VII available on the web at: http://www.colostate.edu/Depts/HRS/cpp/user_guide/toc.html, or by contacting the CSU Employee Relations Manager at 970-491-3548.

Submit copies to your supervisor, reviewer and to Human Resource Services.

III. PLANNING PROCESS

Employee Performance plans should be completed no later than May. Programs are effective for one year. For new employees, a performance plan should be created within 30 days of the date of employment.

Employees who have received promotions, or have been assigned different duties, should have performance plans created or modified as soon as possible after the change of duties.

Refer to figure on page 15

Review the Position Description Questionnaire

All active positions in the classified personnel service at Colorado State University have a Position Description Questionnaire (PDQ) on file in Human Resource Services. There also should be one on file in the department where the position resides. The PDQ is an important human resources management document. It describes the duties and responsibilities of the position, establishes the essential elements of the position for Americans with Disabilities Act purposes, and is the primary document for determining job classification and, ultimately, compensation.

The Performance Pay Program relies on each position having a current and accurate PDQ. Thus, before any performance planning can be done, the employee and supervisor should carefully review the PDQ to ensure that it describes the duties and responsibilities of the position. There needs to be a clear understanding of the work assignment.

Link to the University, Department and Work Unit Mission

A major component of the Performance Pay Program is the relationship of an employee's duties to the missions of the campus and work unit. The underlying philosophy is that employees must understand how they fit into the functions and activities of the organization, and the link between their position and the organization's purpose. These should be made clear during the Planning process. Question 2 from the first page of the PDQ, "The purpose of this position is..." should help provide such linkage.

Departments and work units are encouraged to include their statement of their mission in the planning and evaluation instrument to underscore the employee's role in Department.

Teamwork can be measured as a component of an individual's performance plan and awards (base and non-base) proportioned accordingly. Departments may establish core competencies that are key to employee success in that Department.

Colorado State University Mission Statement

"Colorado State University belongs to the people. True to its land-grant heritage and responsibilities as a student-centered major research University, Colorado State focuses on the interrelated areas of education, research, and outreach. The University is committed to excellence in advancing the frontiers of knowledge, providing intellectual and cultural leadership, preparing students for life-long roles as productive citizens and thinkers, and striving always to improve the human condition. Colorado State's learning community is grounded in intellectual curiosity and high ethical standards empowered by personal integrity and respect for the diversity of peoples and cultures."

Planning Process

Every component of the Performance Pay Program is intended to foster communication.. The most important component of the planning process is the planning meeting. Other components involve the detailed work of completing the Planning Section of the Performance Pay Planning and Evaluation Form.

Steps:

1. Prepare for the meeting by gathering the necessary materials – a copy of the Position Description Questionnaire (PDQ), the User Guide, and the Performance Pay Program Planning and Evaluation Form.
2. The supervisor is encouraged to discuss the employee performance plan with the reviewer.
3. Prior to the meeting, both supervisor and employee review the PDQ for accuracy and adequacy, review the User Guide and the forms, consider the past performance period, and think about standards/goals/objectives for the future.
4. During the meeting, supervisor and employee discuss the PDQ, future standards/goals/objectives, methods of measure, and what will distinguish Level 2 performance from Level 3 or Level 4 performance. They also discuss training and development activities that will occur during the appraisal period.
5. Following the meeting, the supervisor is responsible for refining the discussion and preparing the employee plan using the Planning and Evaluation Form. The performance plan is completed with a meeting between the supervisor and the employee when the form is finalized, signed, and dated. Both initial the box regarding the accuracy and adequacy of the PDQ. Any changes can be written on the Program. The supervisor files the original signed plan in appropriate departmental or personal files and the employee is given a copy.

Writing Standards/Goals/Objectives

Standards/Goals/Objectives are written statements that should:

- State an important and measurable outcome that when accomplished will help assure success
- Set within each accountability area
- Concentrate on outcomes, not activities
- Concise statements
- Significant
- Limited in number (3 to 7)
- Fully Communicated

Definitions:

- **Objective:** Expressing or dealing with facts or conditions as perceived without distortion by personal feelings, prejudices or interpretations
- **Subjective:** Modified or affected by personal views, experience or background

In writing standards/goals/objectives, keep the following model in mind:

S.M.A.R.T. GOALS

Specific – they precisely define the work involved

Measurable – quantitative, qualitative, and timely

Agreed – both supervisor and employee are committed

Realistic – an acceptable but stretching challenge

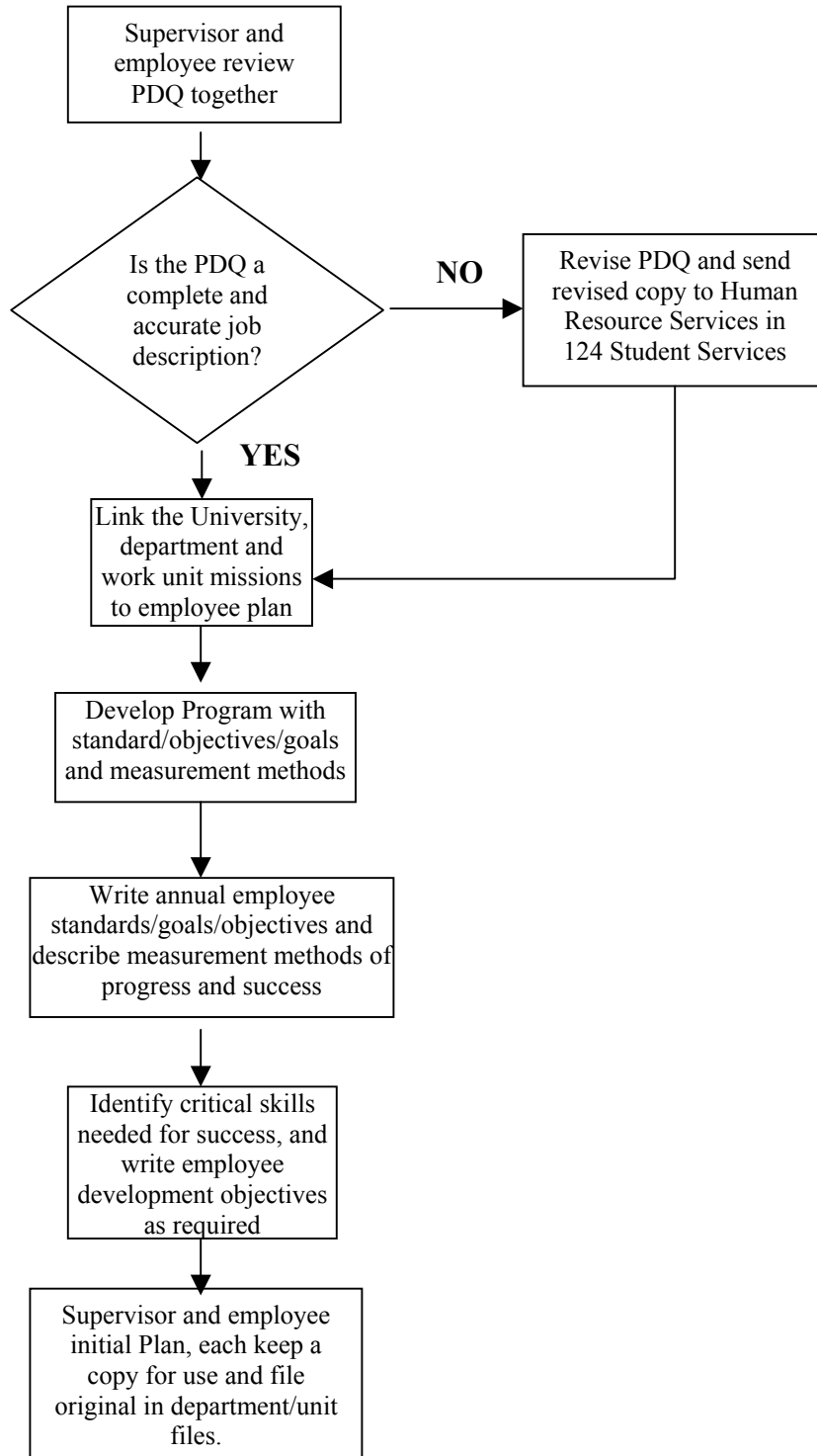
Timed – specify completion and review dates

There are five types of standards/goals/objectives:

- To achieve routine work assignments
- To resolve identified problems
- To support innovation
- For professional development
- To support institutional or departmental goals

The Performance Pay Program Planning and Evaluation Form includes a section titled “Training and Development Programs”. Some employees will be learning and applying knowledge and skills necessary for success on the job. This section has space for identifying training programs and activities that the employee will attend. Careful consideration should be given to any new assignments for the position requiring orientation or training, any areas of weakness in the preceding evaluation, or any areas that would be appropriate for developmental training. When this section is completed, the supervisor is agreeing that time or opportunity will be made available for the employee to attend the program, and the employee is agreeing to learn and apply the skills or knowledge. The training programs can be incorporated into a standard/goal/objective.

Performance Planning Steps



IV. COACHING, FEEDBACK AND PROGRESS REVIEW

Coaching, feedback and progress reviews are critical components of performance management. Both supervisor and employee are responsible for the success of performance management.

Some coaching tips for supervisors:

- Hold periodic, ongoing reviews with each employee. Do not limit interactions to the annual planning, mid-year review, and evaluation meetings.
- Acknowledge good performance immediately.
- Address problems immediately, and do not postpone addressing them until the annual evaluation meeting.
- Observe and record specific examples of performance whenever they occur. Provide specific feedback, not vague, general observations. Document both good performance as well as poor performances.
- Keep communications open and frequent. Ask employees about their feelings and perceptions regarding their performance, and respond to their input.

Feedback can be both positive and corrective. Acknowledge both. The key elements of effective feedback are:

- Timely: It is as immediate as possible
- Specific: It is detailed and descriptive.
- Behaviorally based: It addresses behavior, not character, motivation or personality
- Balanced: It acknowledges positive behavior as well as opportunities for improvement.
- Actionable: It is something upon which the receiver actually has the ability to effect change.

Some feedback tips:

- Present constructive feedback as a portion of the larger context rather than alone.
- Avoid the use of global statements such as ‘always/never’ and ‘everyone/no one’.
- Use ‘and’ rather than ‘but’. ‘But’ tends to negate what came before.
- Replace ‘should’ and ‘have to’ with reasons why.
- Own your feeling. Describe emotions with ‘I feel’ rather than ‘You make me feel’.
- Be very careful about projecting feelings onto others. ‘You make John angry...’
- Stick to what happened and the results of what happened with a clear focus on future performance. ‘This is what happened, this was the result, what can we do to improve on it?’
- Direct the feedback toward behavior that the employee can control. Frustration is increased when an employee is reminded of some shortcoming over which she or he has no control.
- When dealing with defensiveness, re-focus on the commitment. Don’t get caught in the accusation, blame, defense loop.
- Clear questions and listening is often a good way to move past strong emotions.
- Give concrete examples of what the employee has done; positive and negative. Provide evidence that you are paying attention and committed to recognizing their positive as well as negative results.
- Review your approach before you speak to the employee. First, how would you feel or respond if you heard this news.

Keep in mind, we get the behavior we reward; therefore avoid rewarding the wrong behavior.

Mid-Year Progress Review Meeting

1. Prepare for the Meeting. Gather the performance plan, personal notes and records, letters and memos from others, and examples of work. Schedule the meeting with the employee at an available time and in an appropriate meeting room that is private and quiet.
2. Review the Plan. Discuss performance standards/goals/objectives to determine where the expectations have been met, exceeded, or improvement is necessary.
3. Adjust the Plan. Adjustments can be made to the performance Plan, if necessary, and the supervisor and employee can clarify the expectations.
4. Document the discussion. Using the Planning and Evaluation Form, complete the Mid-Year Progress Review Meeting portion, sign and give a copy to the employee, and retain a copy in the department or personal records file.

V. EVALUATION PROCESS

Employee performance evaluation is the process of assessing and summarizing the work performance of an employee.

Refer to figure on page 20

Purpose of the Evaluation Process

- Provide Feedback and Input
- Provide a Basis for Coaching
- Provide a Basis for Employee Training and Development
- Improve Employee Performance
- Provide a Basis for Salary Adjustments

Evaluation Preparation

Review PDQ and Work Record

Before meeting with the employee, review the PDQ and work record for the evaluation cycle. Obtain performance feedback from people with whom the employee has worked, including direct reports, if appropriate. Where customer service is a key part of the job, feedback from customers may be solicited. Gathering information from other sources should be discussed with the employee as part of the planning process. Review prior performance evaluations and the mid-year progress review. It is helpful for the employee to prepare a brief summary of his/her main accomplishments and successes.

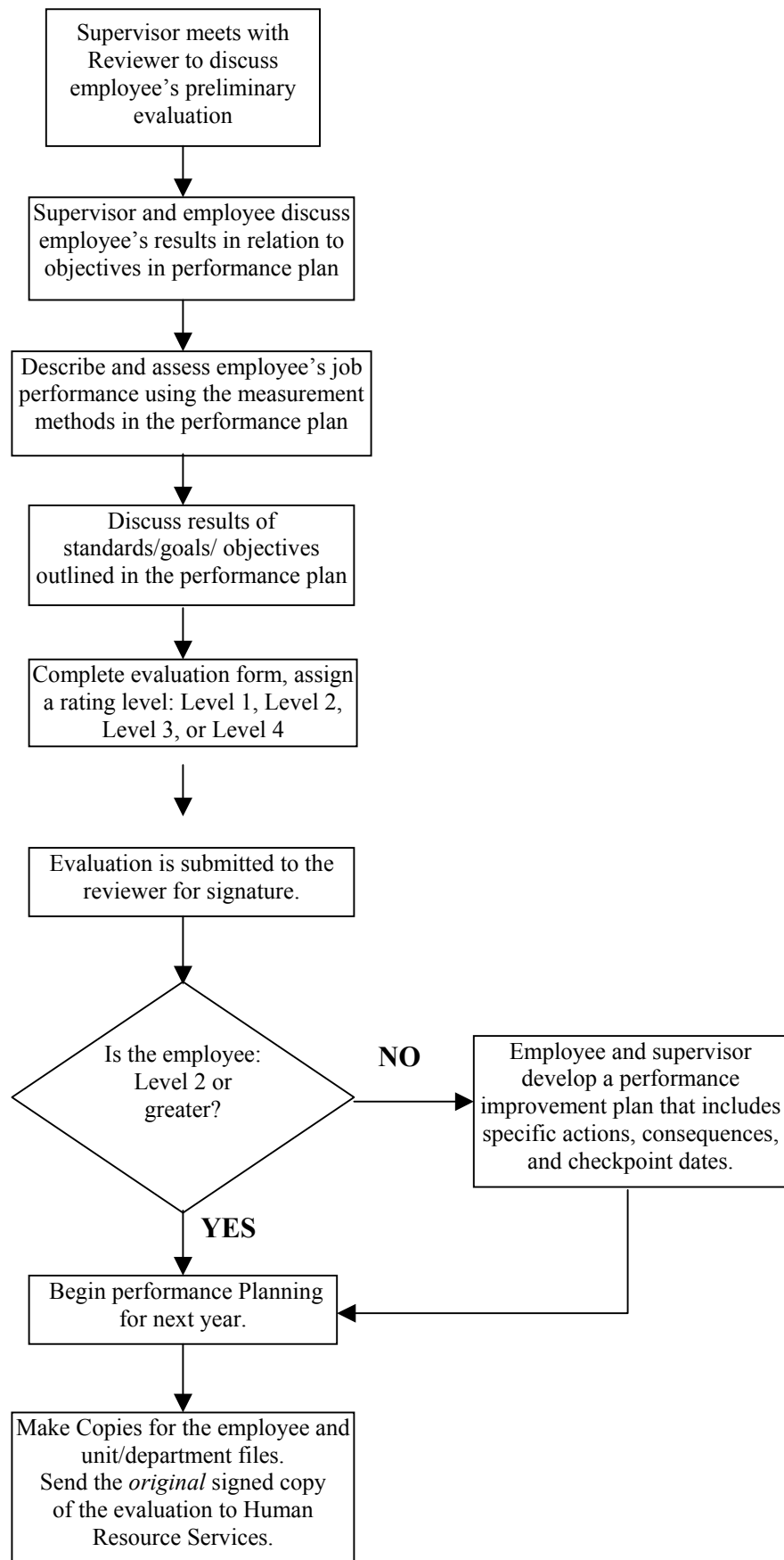
If the employee reported to more than one supervisor during the evaluation period, consult with the other supervisor for input on the evaluation (see Transfers, Section VII). Before including any information in an evaluation that indicated there was a performance problem, ask the previous supervisor if the information about the problem has been shared with the employee and obtain any documentation about the issue.

Form Completion

The written part of the performance evaluation process includes completing the evaluation portions of the Performance Pay Program Planning Confirmation and Overall Evaluation Form. In so doing, consider these questions:

1. How does the level of performance compare with performance standards for this competency, behavior, task, goal, or initiative?
2. How was the level of performance confirmed? What did you see the employee doing or not doing? What do analytical reports or work products show? What information or feedback did you get from co-workers, customers, or other sources?
3. Has the employee been evaluated using objective measures understanding that some may seem to be subjective in nature?
4. What were the consequences, results, or impact of the performance?
5. Is there a gap between your evaluation and the employee's? What significance is placed on the employee's self-evaluation? How do you account for the difference, if any?

The feedback collected during the course of the review period should substantiate the rating for each performance factor. Supervisors are expected to make fact-supported judgements in assigning ratings.



Evaluation Pitfalls to Avoid

- **Impressions vs. Data** – Ask yourself: “Do I have specific information on behaviors or instances to justify my ratings?”
- **Compatibility vs. Non-compatibility** – Ask yourself: “Am I giving a more positive evaluation because this employee is more like me, agrees with me, doesn’t ‘make waves’, etc?”
- **Halo vs. Horn** – Ask yourself: “Am I inflating all the rating areas because the person performed well in one particular area?” Conversely, “Am I deflating all the ratings because the person has performed poorly in one particular area?”
- **Clarity vs. Fogginess** – Ask yourself: “Can the written comments stand on their own and be understood as I intend them? Will the person being evaluated understand them?”
- **Recency/Primacy** – Ask yourself: “Am I rating performance based on the entire rating period rather than something that happened early on (primacy) or very recently (recency)?”
- **Central Tendency vs. Distribution** – Ask yourself: “Am I rating performance based on the employee’s areas of strength and areas for improvement or am I taking a “middle of the road” approach?”

Rating Levels

Level 1 – Needs Improvement, Unsatisfactory, Does not meet expectations, standards, requirements, or objectives

Level 2 – Good, Proficient, Satisfactory, contributor, successful, meets expectations, standards, requirements and objectives

Level 3 – Very good, Commendable, Above average, Exceeds expectations, standards, requirements, and objectives

Level 4 – Outstanding, meritorious, Excellent, Role model, Exceptional, Exemplary, Superior achievement, Consistently exceeds expectations, standards, requirements, and objectives

Role of the Reviewer

- Review the evaluation to ensure that the process conforms to CSU Performance Pay Program guidelines and University policies and procedures, there is evaluation consistency across the supervisor’s subordinate employees, and consistency across supervisors.
- The employee’s final rating must be approved by the reviewer before it can be provided to the employee.
- Under CSU/PPP, pay decision will be based on the evaluations completed by supervisors and reviewers and within system boundaries. Departments or work units may NOT establish quotas or forced distribution processes for determining the number of employee ratings in any of the four performance levels.

The Evaluation Session

What the supervisor should bring to the Evaluation meeting:

- Your copy of the Planning and Evaluation Form with your entries and notes.
- Any examples of the employee's work that support your entries or notes.
- Any feedback you have received from the employee's key co-workers or customers.
- Some specific examples of times the employee has been successful, and some specific examples of opportunities for improvement.
- Some possible ideas for how the employee might leverage their skills, strengths and talents.
- Some ideas for how the employee might improve their skills.

What the employee should bring to the Evaluation meeting:

- If you or your unit choose to use self-evaluation as a part of the process, complete and bring this to the meeting.
- Any feedback you have received from your key co-workers or customers.
- Your copy of the Planning and Evaluation Form.
- Some specific examples of times you have been successful, and some specific examples of opportunities for improvement.
- Some possible ideas for how you might leverage your skills, strengths and talents.
- Some ideas for how you might improve your skills and overcome weaknesses, as appropriate.

Planning the performance evaluation meeting contributes to the success of the process. Below are some guidelines for supervisors that will assist in accomplishing the goals of the formal performance evaluation meeting:

- Plan what you will say. Determine the best way to present your points. The emphasis should be on problem solving and future actions.
- Select a meeting place that is both comfortable and quiet. Schedule the meeting to avoid interruptions. Allow adequate time.
- Create a positive, communicative atmosphere. Be sensitive to the employee's feelings, concerns, and questions.
- Begin the meeting by discussing the employee's self-evaluation, if applicable. Discuss areas of agreement and difference.
- Review your draft of the evaluation portion of the Planning and Evaluation Form with the employee. Begin by providing positive feedback. Point out specific accomplishments, noting how they have contributed to the group's efforts and the department/unit mission.
- Discuss areas that need improvement. Ask the employee for suggestions about how to improve performance. Introduce your ideas, as well. Emphasize problem solving and concentrate on future actions for any areas that need improvement.
- Avoid discussing motivation or personal issues. Concentrate on the employee's behavior and the consequences of that behavior to the individual and the department.
- Always allow the employee the opportunity to discuss feelings and reactions to your input and feedback. Listen to the employee. Encourage suggestions – allow the employee to say what needs to be said.
- Consider multi-source assessment (ex. employee customers and co-workers) when feasible
- If the employee disagrees with you, allow her or him to state feelings honestly. Listen without arguing or defending your point of view. Be prepared to adjust your viewpoints, if appropriate.
- If the employee has been rated as Level 2 or higher, set standards/goals/objectives for the next review session.
- After this meeting, forward the completed form to the reviewer

- After necessary changes have been made to the Planning and Evaluation Form, ask the employee to sign and date the form, and indicate if he or she agrees or disagrees with the evaluation.
- The supervisor may attach work standards, supplemental performance information, work samples, and additional comments. Inform the employee that comments can be added or attached to the Planning and Evaluation Form.
- The original of the completed form is forwarded to Human Resource Services Records Staff. A copy is given to the employee and a copy is retained for the work unit's files.
- If the employee has been rated as Level 1, a performance improvement plan or corrective action must be done. This plan should include the following:
 - Very specific actions and behaviors that the employee is expected to demonstrate.
 - Consequences for failing to meet these expectations.
 - Specific checkpoint dates.
 - In the case of a corrective action, the employee must be notified of her/his grievance rights.

If the employee doesn't agree, refer to section on Dispute Resolution on page 27.

NOTE:

- If a supervisor fails to conduct a final evaluation, the employee will be given a default level 2 rating until the final evaluation is completed.
- Classified supervisors who fail to establish annual performance plans or to conduct timely evaluations for their employees will not be eligible for any PPP awards.

VI. AWARDS

CSU Pay Philosophy

Colorado State University believes that it is very important that its performance pay plan combine base pay increases with an opportunity for additional non-base bonus awards based upon demonstrated performance. The base award amount will be the same percentage of pay for all employees not yet at their range maximum who receive an evaluation of level 2 or above, not to exceed the range max. The base percentage amount for each year will be set in accordance with the University's annual budget process. In addition, employees rated at levels 2 and above will receive a non-base award consistent with the range set annually for each evaluation level. The minimum and maximum amounts of combined base and non-base awards will be set each year in accordance with the annual budget process.

Employees at or above range maximum will be eligible for a non-base award of 0 to Z% with Z being determined each year by the State Personnel Director.

Awards- Types and Eligibility

- **Base Building Awards:** A sum of money earned by an employee that increases base pay
- **Non-Base Building Awards:** A monetary or non-monetary award earned by an employee that must be re-earned annually. Non-base building awards are not bonuses as defined by PERA. Non-base building awards count toward the highest average salary (HAS) for PERA.

In Colorado's Performance Pay Program, a pay range is defined as the range of base salary between a minimum and maximum amount set for a class. The current pay ranges set by the Colorado Department of Personnel are located on the web at:

http://www.state.co.us/gov_dir/gss/hr/products/comp/0102plandocs/linkpage.htm

The maximum base salary or upper limit is listed as "traditional maximum." Employees move up the range through performance awards.

Annual base building and non-base building performance awards will be a percentage of salary effective on July 1.

All awards are subject to available funding and no award will be guaranteed.

Regardless of performance level, an employee cannot be granted an award or combination of awards greater than the performance award maximum set by the Director of the State Department of Personnel..

Level 1 performers are not eligible for a performance award.

For those below the pay range maximum, Level 2 through Level 4 performers are eligible for base building, non-base building, or a combination of performance awards. No base building award can be granted that results in a base salary that exceeds the pay range maximum.

For employees currently at the pay range maximum, Level 4 performers are eligible for performance awards. Payment of awards for those at the maximum of their pay ranges is limited to non-base building awards.

Award Setting

The State Personnel Director will recommend and publish annually, in conjunction with the Total Compensation Survey on December 1, the maximum percentage available for performance awards. Colorado State University will specify the maximum award percentages for Levels 2 and 3 based on budget, employee demographics and distribution of ratings.

For those **below** their pay range maximum:

Performance Level	Performance award
Level 1	0
Level 2	X%
Level 3	x ⁺ % to Y%
Level 4	y ⁺ % to Z%

NOTE: Colorado State University sets the value of X and Y and of x⁺ and y⁺. The value of X will be greater than 0 and the values of x⁺ and y⁺ will always exceed the values for X and Y respectively. The State Personnel Director sets the value of Z.

For those **at** their pay range maximum:

Performance Level	Performance award
Level 1	0
Level 2	0
Level 3	0
Level 4	0 to Z%

The State Personnel Director sets the value of Z.

The minimum award for those currently at the maximum of their pay ranges is set at zero because payment of these awards is at the discretion of CSU.

Transition of Current Employees

Colorado State University will continue to follow the grade and step schedule for all of its State Classified employees until the implementation of CSU/PPP on July 1, 2002.

- Step increases scheduled on or before June 1, 2002 will take effect as long as performance is evaluated as above “needs improvement.”
- Continuing employees whose base salaries on June 30, 2002 are below maximum salary for their respective classifications will be eligible to receive base and non-base awards according to CSU/PPP as of July 1, 2002.
- Employees whose base salaries on June 30, 2002 place them at maximum salary will be eligible for only non-base building awards in accordance with CSU/PPP as of July 1, 2002.

New Hires, Reinstatements, Reemployments and Transfers from other agencies

Employees appointed at Colorado State University on or before the last working day in December will be evaluated for their partial year of employment and are eligible for both base-building and non-base building awards.

Employees hired on or after the first working day in January will have an informal review for purposes of giving feedback and beginning the formal performance planning and evaluation process. They will not be eligible for either base building or non-base building awards.

Job Changes--Transfers, Promotions, Reallocations and Demotions

Since the performance management cycle for CSU/PPP will follow a fixed year cycle for all state classified employees, job changes between or within departments as a result of transfers, promotions, reallocations or demotions during this cycle will affect employees opportunities for base and/or non-base building awards as outlined below:

Position or department changes occurring between May 1st and October 31st of any year.

- The evaluations by the new supervisors/departments will determine eligibility for both base building awards (for employees below maximum salary) and non-base building awards.

Position or department changes occurring between November 1st and April 30th of any year:

- Eligibility for base-building awards (employees below maximum salary) will be determined on the basis of the partial year evaluation done by the previous supervisor/department and on the basis of the evaluation by the new supervisor/department. Previous supervisors will submit a partial year evaluation to the new supervisor at the time of the employee transfer. The new supervisor is responsible for giving an overall evaluation rating
- Non-base building awards: Eligibility for non-base building awards will be determined on the basis of the evaluation by the new supervisor/department.

Announcement and Distribution of Awards

- A notice of the employee's salary awards will be generated by Human Resource Services and sent to the department/unit who attaches it to a letter sent to the employee from the appropriate department/unit individual
- Base building award increases will take affect in the July paycheck and will remain a permanent part of the employee's monthly pay. Non-base building awards will be distributed as a single lump sum in the month of July.
- A reminder that both base building and non-base building awards are subject to the normal mandatory payroll deductions.
- Non-base building awards will be recognized by PERA as part of the employee's salary when determining employee's highest average salary (HAS).

VII. DISPUTE RESOLUTION PROCESS

Under Colorado State University Performance Pay Program, the direct relationship between performance evaluations and pay rate change has the potential to result in differences of opinion between employees and their supervisor.

According to State Department of Personnel guidelines, issues that may be disputed are:

- The employee's performance plan (or absence of a plan)
- The final overall performance evaluation rating, including lack of a final overall evaluation
- The application of the CSU Performance Pay Program to the employee's plan and/or final overall evaluation; and,
- Complete payment of the base or non-base building awards approved for the employee.

Every effort should be made to resolve the issue at the lowest possible level in a timely manner. Informal resolution before initiating the dispute resolution process is strongly encouraged.

In order to ensure the speedy resolution of disputes related to CSU Performance Pay Program, the following procedure has been adopted. The expedited process from immediate supervisor to final decision is intended to resolve disputes in a timely fashion so that awards granted under CSU Performance Pay Program are finalized in time for a July 1 implementation each year.

An employee wishing to initiate the process for Dispute Resolution will so advise her/his supervisor, using the CSU Performance Pay Program Dispute Resolution Form in Section II within three working days of the event which has resulted in the disagreement. A copy of the completed form shall also be provided to the Department Chair or Department Head of the employee's unit and to the Human Resource Services Director's Office.

Initial Review: Upon receipt of the Dispute Resolution Form, the supervisor will schedule a conference with the employee to discuss the issue(s) presented. The employee, the employee's supervisor and the person responsible as the "reviewer" shall attend this conference. The dispute resolution process is an open process that is not a grievance or appeal. No party has an absolute right to legal representation, but may have an advisor present. The parties are expected to represent and speak for themselves.

The conference at this initial review must occur within five working days of the date the supervisor receives the written request unless both parties agree to an extension of time, exceptions as noted below.

Note: Disputes arising from the employee's final performance evaluation are not subject to the extension process, due to the short amount of time available for making CSU Performance Pay Program salary awards and the impact of the evaluation on those decisions. In this instance, the unavailability of the supervisor or the reviewer will result in the conference being conducted absent that person. The unavailability of the employee to meet within the defined time period will result in the dispute being terminated.

Within three working days of the conclusion of the initial review conference, the supervisor shall provide the employee with a written response to the employee's concerns. The response shall reflect the collective conclusions of the supervisor and the reviewer. Copies of the response are provided to the employee and HRS.

Final Review: If the employee is not satisfied with the conclusions presented at the Initial Review stage, he/she must contact the Head/Chair of her/his department in writing within three working days of receipt.

Within three working days of receipt of the request to initiate the Final Review, the Head/Chair will conduct a conference with the employee, the supervisor and the reviewer involved in the Initial Review.

The Department Head/Chair shall issue his/her decision within three working days of the conference. The decision issued shall be binding unless the dispute includes allegations that the CSU Performance Pay Program's Program was not followed or that a complete payment of the award finally approved was not made. In these instances, the employee may proceed to the External Stage described below. The same principles for the presence of the advisor and changes in the time frame outlined in the initial review stage also apply to the final review stage.

When either the supervisor or reviewer is the Department Head/Chair, then the final stage review will occur at the Dean/Vice-President level.

External Stage: The Director of the State Department of Personnel administers this stage. Only those original issues involving the application of CSU Performance Pay Program to the individual plan and/or evaluation, or full payment of a CSU Performance Pay Program award may advance to this stage.

1. Within five working days from the date of the agency's final decision, an employee may file a written request for review with the Director using the appeal form on the following page.
2. The request for external review shall include a copy of the original issue(s) submitted in writing and the written decision at the final review stage. All requests for review are subject to an initial screening to determine if review is warranted. If a determination is made that further review is not warranted, it is final and binding and the employee will be notified accordingly.
3. If further review is warranted, the Director or designee shall select a qualified neutral third party. The neutral third party has 30 days to issue a written decision, which is final and binding.

NOTE: The scope of authority of those individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the CSU Performance Pay Program. These individuals shall not substitute their judgment for that of the rater, reviewer, or the decision maker of the Internal Final Review. Further, these individuals shall not render a decision that would alter the CSU Performance Pay Program.

In reaching a final decision, these individuals have the authority to instruct a rater(s) to:

1. Follow the CSU Performance Pay Program
2. Correct an error; or,
3. Reconsider an individual performance plan or final overall evaluation

These individuals may also suggest alternative dispute resolution such as mediation

Retaliation against any person involved in the dispute resolution process is prohibited.

**COLORADO STATE PERSONNEL
APPEAL FORM/EXTERNAL PERFORMANCE PAY DISPUTE FORM**

NOTE: Read these instructions before completing this form. Type or print legibly in black ink. You may attach additional sheet(s), if necessary. If you attach additional sheet(s) to this form, note which numbered question the information on the additional sheet(s) applies to. Pursuant to the Americans with Disabilities Act, copies of this form are available in alternate formats. Contact the State Personnel Board or Director to obtain these alternate formats. Mail or deliver this completed form to: **State Personnel Board or Director, Attention: Appeals/Performance Pay Disputes Processing, The Chancery Building, 1120 Lincoln Street, Suite 1420, Denver, CO 80203.**

1. IDENTIFICATION

Name: _____
 Address: _____
 City: _____
 Phone: (w) _____
 (h) _____

Representative on Appeal (if applicable):*
 Name: _____
 Address: _____
 City: _____
 Phone: _____

* Does not apply to Performance Pay Disputes. Representatives need to file an entry of appearance with the Board.

You must notify the Board or Director in writing if the above information changes before the appeal or performance pay dispute process is concluded.

I am a **certified** state employee: ☐ Yes ☐ No.

2. THE PARTY WHOSE ACTION IS BEING APPEALED OR DISPUTED:

Name: _____
 Department or _____
 University: _____
 Address: _____

3. SPECIFIC ACTIONS BEING APPEALED OR DISPUTED:

4. REASONS FOR APPEAL/DISPUTE: The action taken was arbitrary, capricious, or contrary to rule or law because:

5. RELIEF REQUESTED:

6. NOTICE: The date I received written notice of the action being appealed was: _____
(ATTACH A COPY OF THE WRITTEN NOTICE, IF ANY, TO THIS FORM.)

7. TYPE OF APPEAL OR DISPUTE: (Check only the box(es) that apply.)

- ☐ **Disciplinary Action** (Describe): _____
- ☐ **Examination Appeal** **Class Title:** _____ **Date of Exam:** _____
- ☐ **Final Grievance Decision** (Attach copy of final grievance decision)
- ☐ **Layoff** (includes abolishment of position, retention rights, and reemployment rights.)
- ☐ **Matter involving the overall administration of the personnel system by an agency, which is not otherwise appealable.** (See Director's Procedure P-8-21 A)
- ☐ **Other** (describe, e.g., overtime, adverse effect on current base pay*, status or tenure.)
- ☐ **Downward Position Evaluation Appeal** (Allocation to a class in a lower pay grade.)
 Present class _____
 Title _____
- ☐ **Whistleblower** (Retaliation for disclosure of information) (Board rule R-8-21 requires you to attach a written complaint.) Please mark the appropriate items as listed below:
- ☐ **Matter of:** ☐ **Waste of Public funds** ☐ **Abuse of Authority** ☐ **Mismanagement of Agency**
 ☐ **OTHER: (PLEASE PROVIDE WRITTEN EXPLANATION)** _____
- ☐ **Reasonable communication to supervisor of When: retaliation claim.** _____
- ☐ **Reasonable communication to appointing authority or member of legislature** _____
- ☐ **Discrimination**
- | | | |
|--|--|--|
| <input type="checkbox"/> Disability | <input type="checkbox"/> Race/Creed/Color | <input type="checkbox"/> Sex |
| <input type="checkbox"/> Age | <input type="checkbox"/> National Origin | <input type="checkbox"/> Religion |
| <input type="checkbox"/> Political Affiliation | <input type="checkbox"/> Sexual Orientation | <input type="checkbox"/> Organizational Membership |
| <input type="checkbox"/> Veteran's Status | <input type="checkbox"/> Other non-job related Factor: _____ | |
- ☐ **Director's Review of a Performance Pay Dispute** (Attach copy of the original written internal dispute and agency's decision)
- ☐ Application of agency's performance pay program to individual plan or rating ☐ Full payment of award

THIS FORM MUST BE SIGNED BY THE COMPLAINANT OR, IF AN APPEAL, THE COMPLAINANT'S REPRESENTATIVE. SIGNATURE BY THE COMPLAINANT'S REPRESENTATIVE CONSTITUTES AN ENTRY OF APPEARANCE FOR AN APPEAL. ALL DOCUMENTS AND CORRESPONDENCE WILL BE SENT TO THE PERSON SIGNING THIS FORM.

Date: _____

 SIGNATURE

CERTIFICATE OF DELIVERY: You MUST hand-deliver or mail a copy of your appeal/dispute to the party listed in item 2.)

I certify that I have served a copy of this appeal or dispute on the respondent at the address specified in item 2 above, by (first class mail) (hand delivery) (*cross out the one that does not apply*) this _____ day of _____, 20____.

 Signature

Colorado State Personnel

Instructions for Completing Appeal/Performance Pay Dispute Form

This form is designed for use in all state personnel system appeals or performance pay disputes, whether the appeal is to the State Personnel Director or the State Personnel Board. Please note that the form may also be used to request the State Personnel Director's external review of certain matters related to performance pay disputes. Differences are noted in the instructions.

Appeals must be filed within 10 calendar days of the date on which you received notice of the action being appealed. An appeal may be filed by mailing it by first class mail with a postmark on or before the tenth day, or by hand delivering it to the proper address before the ten-day appeal period ends. If the tenth day falls on Saturday, Sunday or a legal state holiday, the filing deadline is extended to the next business day. Appeals should be hand delivered or mailed to the address for the State Personnel Board and Director shown at the top of the appeals form. Appeals may be filed with the Board or Director by sending a fax to (303) 894-2147. The original appeal must also be mailed to the Board or Director the same day the appeal is faxed. The same applies to performance pay disputes except the filing deadline is five working days from the date of the department's final written decision.

FOLLOW THESE INSTRUCTIONS CAREFULLY. The use of the form is optional; however, the information requested is required. You may provide the requested information by letter, if you prefer. Failure to give complete and specific information *may* result in dismissal of your appeal or dispute

DIRECTIONS FOR FILLING OUT THE FORM:

1. IDENTIFICATION SECTION

Complainant. Enter your name, the address where you want to receive mail, and the telephone number where you may be reached concerning this appeal. *It is your responsibility to notify state personnel of any change in your address.* Failure to do this may result in dismissal of your appeal or dispute.

Certified status. An employee who has completed a 12-month probationary period, or less at the option of the employer, is certified and has certain legal rights to continued employment.

Representative. Do not fill in this section unless your representative (i.e., lawyer or a business agent of an employee association or union of whom you are a dues paying member) signs the appeal. This section does not apply to performance pay disputes.

2. RESPONDENT. The department or university whose action is being appealed or disputed.

3. SPECIFIC ACTION(S) APPEALED/DISPUTED

Describe briefly and specifically the action being appealed or disputed.

4. REASONS FOR APPEAL/DISPUTE

The action you are appealing can be overturned only if it is arbitrary, capricious, or contrary to rule or law. "Arbitrary or capricious" is defined as action that has no rational basis or no competent evidence to support it. "Contrary to rule or law" is defined as an action that violates a specific provision of the state or federal constitution or statutes, or any state personnel policy, rule or procedure. The same applies to performance disputes involving the application of the department's performance pay program or full payment of a performance award.

5. RELIEF REQUESTED

State what you want to happen as the result of your appeal or dispute. What do you want the Director or Board to order if you win your appeal or dispute? Be specific.

6. NOTICE

The date you received notice is critical in establishing your right to appeal or dispute. *Attach a copy of the written notice you received, if any, of the action you are appealing or disputing.* Indicate if you did not receive any written notice of the action.

7. TYPE OF APPEAL/DISPUTE

Check off only those boxes that clearly apply to your situation. Generally, only one or two boxes will apply. Do not fill in blanks associated with a type of appeal or dispute not related to your appeal or dispute, i.e. where you have not checked the box. Below are definitions of terms that may be helpful:

Current Base pay - Current monthly or hourly rate of pay, excluding overtime or premium pay.

Status - Refers to probationary, certified, trial service, and other designations of "status" in state personnel rules, chapter 4.

Tenure - Refers to rights associated with being a certified state employee, such as reemployment procedures after layoff.

8. SIGNATURE

The form must be signed by you or by your representative, if applicable, in the case of an appeal. Also, be sure that the signer's name, address and telephone number are printed or typed above in section 1.

9. CERTIFICATE OF DELIVERY

You **must** deliver a copy of this form to the respondent, either in person or by first class mail, addressed exactly as you have given the respondent's address on page 1. Specify whether the copy of the form was delivered by mail or hand, and the date it was postmarked or hand delivered.

WHAT TO EXPECT NEXT:

Staff in the Appeals Unit will read your appeal or dispute, apply the state personnel rules to determine the type of appeal or dispute rights you have and direct the appeal to either the Director or Board. You will receive a written response within 10 calendar days of the date your appeal or dispute is received advising you of the next step in the process. (You will have an opportunity to explain your position.) If you have not received a written response by the tenth calendar day, you may call to inquire about the status of your appeal or dispute. Depending on the type of appeal or dispute you have filed, you may call either the State Personnel Board at (303) 894-2147, or, the State Personnel Director at (303) 866-2323.

An employee has the burden of proof in all appeals and disputes except those involving disciplinary actions. That is, if your case proceeds to hearing or review in a matter other than a disciplinary action, you will have the obligation to present enough evidence to convince the reviewer that the action taken against you was arbitrary, capricious or contrary to rule or law.

QUESTIONS CONCERNING THIS FORM:

Appeal rights and procedures are explained in detail in Colorado State Personnel System Rules and Procedures, Chapter 8, 4 Code of Colorado Regulations 801.

Revised 7/1/2001

VIII. RESOURCES

Call Human Resource Services for Support in the Performance Pay Program Process

- Consultation with supervisor and employee in writing a performance plan
- Answer questions related to performance management, facilitate work unit meetings about PPP
- Assist in dispute resolutions

Anita Montgomery, Employee Relations Manager
121 Student Services
491-3548 or amontgom@lamar.colostate.edu

Colorado State University Internet Resources

Human Resources web page: <http://www.hrs.colostate.edu/>

Provides information on benefits, payroll, employment, classification, records, data Programs, training and development, and current information

Performance Pay Program web page: <http://www.colostate.edu/Depts/HRS/ppp/index.html>

Latest updates and information, User Guide, Job rates by classification, Performance Management tools, Forms, Frequently Asked Questions, Ask questions online with “Ask Anita”

State Classified web page:

<http://www.colostate.edu/Depts/HRS/employment/classification.html>

Information on classification and positions in the state classified Program. This site also has a link to the Colorado Department of Personnel, containing links to information pertinent to the Performance Pay Program program. Leads to technical assistance, employee pages, PPP informational presentations, agency implementation Programs, resources, and a “what’s new” section.

Training & Development web page: <http://www.hrs.colostate.edu/training/index.html>

This page provides information about training and development programs for personal and professional growth for Colorado State University Employees.

IX. GLOSSARY OF TERMS

Base-building award: A sum of money earned by an employee that increases base pay.

Base pay: Salary, excluding any premiums, paid on a fixed, non-variable basis.

Bonus: A non-base building award given to an employee in addition to the employee's base pay. It is a form of extra payment over the job rate and must be re-earned annually.

Classified employee: An employee of Colorado state government required by the Constitution of the State of Colorado to be covered by the Rules and Procedures of the State Personnel Program.

Performance Pay Program (PPP): Generally used as a reference to the performance management, evaluation, and award Program for the State Personnel Program.

CSU Performance Pay Program: The performance management, evaluation, and award Program used at Colorado State University.

Downward movement: For compensation purposes, changing a position, class, or employee from a class or grade to another with a lower job rate (e.g., job evaluation, Program maintenance study including class placement, total compensation survey adjustments, and non-disciplinary or disciplinary demotions).

Lateral movement: For compensation purposes, changing a position, class, or employee from a class or grade to another that is the same or has the same job rate (e.g., job evaluation, Program maintenance study including class placement, total compensation survey adjustments, and transfer).

Non-base building award: A monetary award earned by an employee that must be re-earned annually.

Non-base pay: An amount of pay that is not added to an employee's base pay and that must be re-earned.

Non-monetary award: A non-cash reward that is given based on performance.

Occupational groups: Ten groupings that contain all of the job classes within the State Personnel Program: (1) enforcement and protective services, (2) financial services, (3) health care services, (4) labor/trades/crafts, (5) medical, (6) management, (7) administrative support services, (8) professional services, (9) physical sciences and engineering, (10) teachers. The ten groups are developed based on job evaluation and compensation processes.

Open range: A salary range with minimum and maximum salaries and no intermediate steps.

Pay Programs: The listing of all pay grades and salary ranges for a specified group of classes in the State Personnel Program. Each occupational group has a unique pay Program.

Pay range: The spread of salaries between minimum and maximum rates for a specific class. A pay range is established based on the annual Total Compensation Survey. The width of pay ranges varies by occupational groups.

Performance award: For those under pay-for-performance, any amount awarded annually for employees rated Level 2, 3 or 4.. Awards may be base or non-base building.

Performance-based pay: Pay that is tied directly to an employee's performance evaluation. Agencies may exercise discretion in administering the amount of performance-pay awards under the general guidelines.

Performance management: A collaborative process between the supervisor and employee that is created and implemented to ensure that employee performance is identified, selected, developed, and rewarded. The structure of this process is based on three elements: (1) mission and strategic Program of Colorado State University, (2) mission and strategic Program of the work unit, and (3) performance required for success of the employee and Colorado State University.

Performance Pay Program review process: Under CSU Performance Pay Program, the process used to resolve issues with (1) an employee's performance Program or rating, (2) the application of the agency's performance management and evaluation Program, policies, or processes to the individuals' Program or evaluation, or (3) the full payment of an award.

Prevailing wage: As defined by statute, employees in the State Personnel Program are to be compensated according to comparable salaries and fringe benefits prevailing in other places of public and private employment.

Professional exempt employees: State employees legally exempt from the State Personnel Program.

Rating levels: Four performance rating levels exist in the CSU Performance Pay Program. They are:
 Level 1 – Needs Improvement, Unsatisfactory, Does not meet expectations, standards, requirements, or objectives
 Level 2 – Good, Proficient, Satisfactory, contributor, successful, meets expectations, standards, requirements and objectives
 Level 3 – Very good, Commendable, Above average, Exceeds expectations, standards, requirements, and objectives
 Level 4 – Outstanding, meritorious, Excellent, Role model, Exceptional, Exemplary, Superior achievement, Consistently exceeds expectations, standards, requirements, and objectives

Salary survey: See Total Compensation Survey.

Saved pay rate: Temporary means of maintaining current base pay during certain situations in which employees are reduced in grade. Such saved pay rates are any amount of base pay above the traditional maximum amount of the grade for the class, up to the statutory lid.

Total Compensation Survey: Also known as salary survey. An annual process required by law to establish prevailing wages for employees in the State Personnel Program. Third-party survey publications are collected and matched with state classes in order to compare the pay and benefit rates between the labor market and the state.

Upward movement: For compensation purposes, changing a position, class, or employee from a class or grade to another with a higher job rate (e.g., job evaluation, Program maintenance study including class placement, total compensation survey adjustments, and promotion).

TRUSTEES OF THE STATE COLLEGES IN COLORADO

Office of State Colleges

PERFORMANCE PAY IMPLEMENTATION PLAN

April 30, 2002

PREFACE

The Office of State Colleges (OSC) is the system office for the State Colleges in Colorado (SCC). The OSC, at present, has a staff of 10, of which 8 are exempt from the State Personnel System and 2 are classified state employees. The Plan provided below is intended to relate to the performance rating planning, rating and pay for the classified employees. The performance planning, rating, pay for exempt employees is covered by other policies issued by the Trustees of the State Colleges in Colorado.

The OSC aims to have a unified performance management and rating system for exempt and classified employees using key performance areas that tie performance to the accomplishment of the OSC goals.

PERFORMANCE MANAGEMENT

Performance Planning

The supervisor and the employee develop jointly a performance plan for the upcoming fiscal year by June 15, based on a discussion between them of the employee's job priorities, continuing activities, and work goals. The performance plan is a work plan, written by the employee in consultation with the supervisor, which lists:

- the employee's anticipated work priorities for the upcoming year and continuing work activities as delineated in the employee's job description or Position Description Questionnaire (PDQ);
- expectations for the employee's contributions to achieving the OSC's goals and objectives; specific training and/or professional development activities that will help the employee meet or exceed the expectations in his or her performance plan, and
- the Core Competencies identified by the State Personnel Director for the employee's position.

Teamwork may be included as a component of an individual employee's performance plan and rating.

Performance Rating

Supervisor and employee meet at least once halfway through the year to formally review and discuss progress to-date and, if necessary, make adjustments to the performance plan. Coaching and feedback will be provided on an ongoing basis.

The employee submits an annual self-assessment to the employee's supervisor by June 15 assessing the employee's performance in the previous 12 months. This self-assessment reflects the employee's view of how he or she contributed to the achievement of OSC's goals and objectives, activities that went as expected, exceeded expectations, or fell below expectations, and demonstration of the Core Competencies for the employee's position.

The supervisor completes a written performance rating by June 30, which identifies the overall level of performance. (See below for the levels.) This rating will be based on, but not limited to, the employee's effectiveness and contributions to the achievement of OSC goals and objectives, demonstration of Core Competencies, and achievement of individual objectives agreed to in the planning process. Input for this rating may include, but is not limited to, the employee's work plan and self-assessment. The rating may incorporate input from individuals inside and outside the OSC who are affected by and have knowledge of the employee's performance.

Before final overall ratings are provided to employees the System Vice Presidents jointly will review all Performance Ratings to ensure reasonableness of ratings and consistency among raters.

Accountability

If a supervisor, including exempt employees, fails to prepare a performance plan or rating in a timely manner, the next level supervisor will do so. If this supervisor does not develop a plan or rating in a timely manner, the next level up in the line of supervision will prepare the plan or rating. Pursuant to Board of Trustees policy (attached), supervisors, including exempt employees, who fail to plan with or evaluate their employees are subject to employment sanctions including, but not limited to, action under CRS 24-50-118 [suspension without pay for not less than one work week].

Default Rating

If an employee is not given a final annual rating by the deadline (June 30), the employee will be awarded a default rating of "proficient" until a non-default rating is issued. The default rating is subject to the internal and external dispute resolution procedures.

All Supervisors, including exempt employees, will have a "factor" in their performance ratings that rates their effectiveness of the performance management of their employees.

Levels of Performance

Four levels of performance will be used:

Level 4 <i>Outstanding</i> :	(consistently exceeds expectations and goals)
Level 3 <i>Above Average</i> :	(occasionally exceeds expectations and goals)
Level 2 <i>Proficient</i> :	(consistently meets expectations and goals)
Level 1 <i>Needs Improvement</i>	(frequently does not meet expectations and goals)

Neither quotas nor a prescribed distribution of levels of performance will be established for the OSC.

PERFORMANCE AWARDS

Employees are eligible for performance awards each year. Performance awards may be base-building or one-time non-base-building awards, or both. The System President, in consultation with the System Vice Presidents, will determine the dollar amount and type of award **ANNUALLY. FOR FISCAL YEAR 2002-2003, ALL PERFORMANCE AWARDS WILL BE NON-BASEBUILDING. no later than July 1, and will communicate the individual increase to OSC agency employees at that time.** Performance awards are effective July 1st. One-time non-base-building awards bonuses will be paid with the July payroll, unless the employee requests different timing. Any unpaid portion of a one-time non-base-building award is due in full when an employee terminates employment with OSC. All performance awards are subject to available funding and no award will be guaranteed. **Any performance awards are made at the sole discretion of the System President so long as these awards are made in a manner that is consistent with the following rules:**

- Level 4 performers whose base pay is below the pay range maximum can be awarded a salary increase (expressed as a percent of base pay) from a number that is greater than zero to the maximum percentage change specified by the State Personnel Director for that year. and higher than the percentage change of any Level 3 performer that year. Amounts of any such award that exceeds the range maximum shall not be base-building.
- Level 3 performers below pay range maximum can be awarded a salary increase from a number that is greater than zero to a percentage **number** that is lower than the percentage number change awarded to any Level 4 performer that year and higher than the percentage number change of any level 2 performer that year. Level 3 performers at or above the pay range maximum are not allowed to be granted a performance pay award under any circumstances. Level **3** performers can earn salary increases up to the range maximum but not beyond.
- Level 2 performers below pay range maximum can be awarded a salary increase from a number greater than zero to a percentage number that is lower than the percentage number change awarded to any Level 3 performer that year. Level 2 performers at or above the pay range maximum are not

allowed to be granted a performance pay award under any circumstances. Level 2 performers can earn salary increases up to the job rate but not beyond.

- Level 1 performers are not eligible for a performance pay award. For such employees, the supervisor shall implement a performance improvement plan or issue a corrective action.

The legislature has stipulated that the cost of the performance pay awards be no more than the cost would be if the anniversary increase system were in place. It will be necessary, therefore, to prorate (annualize) the first year's award (July, 2002) amount given to an individual employee whose anniversary date is some date other than July 1. The exact method for this annualization is contained in the statewide performance pay system report, which is available from the Director of Management Services.

TRAINING

All classified staff and their supervisors shall be trained on this Plan and its implementation. If supervisors wish additional training on specific supervisory and performance management topics, this training will be made available. The training for supervisors will include information about types of non-salary employee performance incentive programs available to Classified State Employees.

DISPUTE RESOLUTION PROCESSES

Internal Process

An employee may request in writing a review by the System President no later than one calendar week following the incidence for which the review is requested. Only issues originally presented in writing shall be considered during the review process. The employee ("Disputant") may have an advisor to assist him or her during the review process.

The review process is open and impartial and allows all parties an opportunity to have issues reviewed objectively. Disputable matters are limited to: (1) the Disputant's own performance plan, including absence of a performance plan; (2) the Disputant's final annual performance rating, or the absence of a final annual performance rating (3) correct application of this Performance Pay Implementation Plan and its policies or processes, including the issuance of a rating that is a default rating; and (4) full payment of a performance award.

The following matters are not disputable: (1) the content of this Performance Pay Implementation Plan, (2) matters related to the funds appropriated or allocated, (3) the employee's progress reviews and interim performance ratings (4) the performance plans, ratings and awards of other employees, (5) the amount of the performance award or whether it is base-building or not, unless the issue involves the correct application of this Plan.

The System President will review the issues presented in writing by the employee. The System President may not substitute his/her judgment for the raters or that rater's supervisor but may if warranted, instruct the raters to (a) correct any misapplication of the Plan, its policies and processes (b) correct errors, (c) reconsider the Disputant's performance plan or rating, or both (d) suggest other appropriate dispute resolution processes such as mediation.

The System President will respond in writing to a request for a review within two weeks of having received the request for review. The raters will make a Final Decision on the dispute and notify the Disputant of such Final Decision in writing within five working days of the System President's response. This written notice will include an explanation of any further review steps that available to the Disputant. (see *External Process* below.)

Raters' Final Decisions relating to (1) the Disputant's performance plan, including absence of a performance plan and (2) the Disputant's performance rating, are not open to further recourse for resolution of the dispute.

External Process

A Disputant who is dissatisfied with the System President's response or the raters' final decision relating to (3) correct application of this Performance Pay Implementation Plan and its policies or processes including the issuance of a rating that is not a default rating; and/or (4) full payment of a performance award, may request a review by the State Personnel Director of the dispute and the Rater's Final Decision. A description of the external review process, which is controlled by the State Personnel Director, will be provided to the Disputant with Raters' Final Decision.

The request and a copy of the original statement of issues, the President's response, and the Raters' Final Decision must be submitted to the State Personnel Director within five working days of notice in writing of the Raters' Final Decision.

Retaliation Prohibited

Retaliation against any person involved in the dispute resolution process is prohibited and, if proven, will be grounds for disciplinary action.

Legal Representation

No party in a dispute has an absolute right to legal representation for this process, but may have an advisor present. The parties are expected to represent and speak for themselves. The definition of "Advisor" will be included in the State Personnel Director's Procedures.

Description of Presses Provided

Each classified state employee and the employee's supervisor will be provided a copy of the dispute resolution process each year.

Disputes related to other matters

Classified state employees have additional dispute resolution procedures that relate to matters other than performance planning, rating, and pay. This Plan is not intended to deal with those other processes in any way.

ANNUAL REPORTING

The OSC will maintain records of performance awards and report this information to the State Personnel Director and the General Assembly as required, including total dollars allocated for performance awards, and amounts awarded for each performance category.

APPENDIX

EVALUATION PROCESS FORMS

**OFFICE OF STATE COLLEGES
Performance Evaluation Process**

Employee Self-Review Worksheet

As an employee, you are encouraged to complete this worksheet. It is designed to help you and your supervisor prepare for your performance evaluation discussion. Give a completed copy of this worksheet to your supervisor at least two days prior to the evaluation discussion and keep a copy for yourself. (Attach separate page(s) as necessary.)

Name: _____ Title: _____

1. Do you have any questions about job performance expectations? What areas are unclear to you, if any?

2. List special contributions you feel you have made to your department for the current evaluation period. (These may include activities, awards, and/or recognitions since your last full evaluation.)

3. List any notable obstacles you encountered in accomplishing your job responsibilities during the last evaluation period, particularly obstacles encountered in attempting to reach the goals you and your supervisor had set. (Include your plan for overcoming any obstacles that you may have met.)

4. What performance standards do you want/need to improve in the next year? How do you intend to achieve these goals?

5. Add any additional information that you wish to have considered in your evaluation.

Signature: _____ Date: _____

THE OFFICE OF STATE COLLEGES
Performance Evaluation Process

Interim Evaluation

Required for each classified employee approximately halfway through evaluation period.

Employee Name: _____ Soc. Sec. #: _____

Employee Classification: _____ Position #: _____

Date of Interim Evaluation Meeting: _____

Summary of Employee's Performance (related to job duties and general performance factors). If employee receives an overall rating of Needs Improvement, the supervisor MUST include specifics as to nature of problem.

Employee's Comments:

Supervisor's Recommendation/Rating:

☐ The employee has met expectations regarding performance and/or conduct during the interim evaluation period.

☐ The employee has NOT met expectations regarding performance and/or conduct during the interim evaluation period.

Supervisor's Signature: _____ Date: _____

I, _____, Agree ___ Disagree ___ with the Recommendation/Rating.
(Employee Signature)

Reviewer's Signature: _____ Date: _____

ATTACH ANY NECESSARY DOCUMENTATION

THE OFFICE OF STATE COLLEGES
Performance Evaluation Process

Performance Evaluation
(For performance planning, performance progress reviews and final performance evaluations)

I. Identification Section:

Employee Name: _____ SS#: _____ Position No.: _____

Evaluation Period (for example 7/1/00-6/30/01): _____

Reason for Evaluation (Circle One): Annual Mid Year Transfer

Classification: _____

II. Agenda:

Performance Planning (for next evaluation year) – to be done with employee:

- Review and discuss departmental mission and goals
- Review and discuss unit work plan
 - Identify and review core competency areas that will be measured and indicate their relative importance for this position
 - Identify and review any Individual Performance Objectives (IPOs)

Supervisor Signature: _____ Date: _____

Employee Signature: _____ Date: _____

Performance Progress Review (midyear review) - to be done with employee:

- Review and discuss unit work plan
- Review and discuss progress toward any IPOs
- Review and discuss employee's self-review worksheet
- Review and discuss performance along competency areas, including behavior indicators

Supervisor Signature: _____ Date: _____

Employee Signature: _____ Date: _____

Final Performance Evaluation (annual review) - to be done with employee:

- Review and discuss unit work plan
- Review and discuss progress toward any IPOs
- Review and discuss employee's self-review worksheet
 - Review and discuss performance along competency areas, including behavior indicators

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

I _____ Agree ___ Disagree ___ with the performance rating.
(Employee Signature)

III. Uniform Core Competencies: NI=Needs Improvement, P=Proficient, AA=Above Average, O=Outstanding; Refer to the Key to Rating Levels below) Weight must total 100%, **including** weights for individual evaluation factors. (Attach separate pages, as needed.)

Weight (e.g. 10%)	Factor	NI	P	AA	O
	<p>COMMUNICATION:-The degree to which the employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisors and customers so as to anticipate problems and ensure the effectiveness of the Office of State Colleges.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>INTERPERSONAL SKILLS:-The degree to which the employee interacts effectively with others to establish and maintain smooth working relations.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>CUSTOMER SERVICE:-The degree to which the employee works effectively with internal/external customers to satisfy service expectations.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>ACCOUNTABILITY:-The degree to which an employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and objectives of the Office of State Colleges.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				
	<p>JOB KNOWLEDGE:-The degree to which the employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <p>Comments:</p>				

Weight (e.g. 10%)	Factor	NI	P	AA	O
	<p>SUPERVISION: (For those employees who supervise one or more employees, whether college employee or student) The degree to which employee/supervisor provides supervision, feedback and training for employees; resolves routine personnel issues or problems; uses employee's skills and abilities; and provides timely performance plans and evaluations in accordance with established timelines.</p> <p>Behavior Indicators: (list minimum of 2, below)</p> <ul style="list-style-type: none"> Provides timely performance plans and evaluations <p>Comments:</p>				

IV. Individual Performance Objectives (IPOs): Use goals/objectives for the evaluation period which were previously agreed upon by employee and supervisor. (NI=Needs Improvement, P=Proficient, AA=Above Average, O=Outstanding; Refer to the Key to Rating Levels) Weight must total 100%, including Standard Evaluation Factors. (Attach separate pages, as needed)

Weight	Goals/Objectives	NI	P	AA	O

Key to rating levels:

Needs Improvement (Level 1): Frequently does not meet expectations and goals

Proficient (Level 2): Consistently meets expectations and goals

Above Average (Level 3): Occasionally exceeds expectations and goals

Outstanding (Level 4): Consistently exceeds expectations and goals This rating level is unique and difficult to achieve because it represents consistently exceptional performance or achievement beyond the regular assignment.

V. SUMMARY: (Supervisor transfers the weight and rating for each component to the table below and selects an overall rating that reflects the dominant trend.)

Item	Weight	Needs Improvement (Level 1)	Proficient (Level 2)	Above Average (Level 3)	Outstanding (Level 4)
Communication					
Interpersonal Skills					
Customer Service					
Accountability					
Job Knowledge					
Supervision (Where applicable)					
Individual Performance Goal 1					
Individual Performance Goal 2					
Individual Performance Goal 3					
Individual Performance Goal 4					
Individual Performance Goal 5					
OVERALL RATING	100%				

Justification: (Required for an overall rating of Needs Improvement or Outstanding, otherwise optional. Attach additional documentation as needed)

Employee Comments (Attach extra pages is needed):

I, _____, Agree ☐ Disagree ☐ with my Performance Evaluation
(Employee's Signature)

Supervisor's Signature: _____ Date: _____

Reviewer's Signature: _____ Date: _____

THE OFFICE OF STATE COLLEGES
Performance Evaluation Process

Performance Improvement Plan

(Required for employees who receive an overall rating of Needs Improvement on yearly evaluation, otherwise optional.)

Employee: _____

Soc.Sec.#: _____

Supervisor: _____

List the Factor(s) that need improvement and the corresponding plan for improvement:

FACTOR	JOB RESPONSIBILITY	PLAN FOR IMPROVEMENT

Support to be provided by Supervisor (i.e. training, equipment, etc.):

Employee Comments:

I _____ Agree ☐ Disagree ☐ with the plan above.
(Employee Signature)

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

Follow-up Review: (to be completed within 60-90 days of annual review date)

____ Employee has achieved required improvements described above.

____ Employee has not achieved the required improvements described above.

Follow-up Review Signatures:

Employee: _____ Date: _____

Supervisor: _____ Date: _____

THE OFFICE OF STATE COLLEGES
Performance Evaluation Process

Request for Formal Review of Performance Management Issues

Must be submitted to System President within one calendar week of disputed action

Has issue been discussed with immediate supervisor? Yes ☐ No ☐

Has an attempt been made to resolve the problem? Yes ☐ No ☐

Request for Initial Review

Employee's name: _____ SSN: _____

Reason for Request:

- ☐ My performance plan, or lack of a plan. *Attach a brief statement of the facts.*
- ☐ My individual performance rating. *Attach a copy of the performance plan, the rating, and a brief statement of the issues and supporting facts.*
- ☐ The application/interpretation of the Office of State Colleges Performance Pay Implementation Plan, policies or processes to my individual plan and/or evaluation. *Attach a copy of the performance plan and/or rating and a brief statement of the plan, policy or process that was misapplied and supporting facts.*
 - ☐ Full payment of performance award. *Attach a copy of the notice of award, record of payments, and a brief statement of explanation and supporting facts.*

To resolve this issue, I have taken the following actions:

Reason immediate supervisor's answer was unsatisfactory:

I am requesting the following resolution:

—

Employee Signature _____ Date _____

**THE OFFICE OF STATE COLLEGES
Performance Evaluation Process**

Request for External Review

I understand that the action I am disputing must have been raised in the agency's review process. Requests for external review must be filed with the State Personnel Director within five (5) working days from the date of the System President's final decision.

Date of System President's decision on my request for review: _____

Reason for Request:

- ☐ Application of the agency's performance management plan, policies or processes to my individual employee plan or evaluation.
- ☐ Full payment of a performance award.

Attach a copy of the original review documents, the System President's decision, and a brief statement of explanation and supporting facts. A copy of the request for external review must also be provided to the supervisor and the human resources office.

Employee Signature _____ Date _____

Requests for external review must be filed with the State Personnel Director, 1600 Broadway, Suite 1030, Denver, Colorado 80203